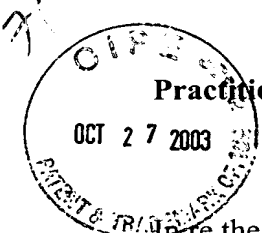


10-29-03

GPI-1765 -  
Image  
PATENT



Practitioner's Docket No.: 782\_181

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Re the application of: Tomohiko SHIBATA, Keiichiro ASAI, and Mitsuhiro TANAKA

Ser. No.: 09/928,523

Art Unit: 1765

Filed: August 13, 2001

Examiner: Matthew J. Song

Confirmation No.: 8032

For: AN APPARATUS FOR FABRICATING A III-V NITRIDE FILM AND A  
METHOD FOR FABRICATING THE SAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 2003 under "EXPRESS MAIL" mailing label number EL 975170189 US.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(c)**

**TIME OF TRANSMITTAL OF ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

1. The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurred last but *before* the mailing date of either:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311 or
- (3) an Office Action that closes prosecution.

**STATEMENT OR SUBMISSION FEE**

2. Accompanying this transmittal is

A. ☒ a statement as specified in 37 CFR §1.97(e).

**OR**


B. ☐ the submission fee set forth in 37 CFR §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

Fee due: \$ 00.00

**METHOD OF PAYMENT OF FEE**

3. ☐ Attached is a check in the amount of \$\_\_\_\_\_.
- ☐ Charge Account No. 50-1446 in the amount of \$\_\_\_\_\_. A duplicate of this request is attached.
4. ☒ If any additional fees are due, please charge Deposit Account 50-1446.

Respectfully submitted,

  
\_\_\_\_\_  
Stephen P. Burr  
Reg. No. 32,970

October 27, 2003

\_\_\_\_\_  
Date

SPB/eav

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320



Practitioner's Docket No.: 782,181

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of: Tomohiko SHIBATA, Keiichiro ASAI, and  
Mitsuhiro TANAKA

Serial No.: 09/928,523

Art Unit: 1765

Filed: August 13, 2001

Examiner: Matthew J. Song

Confirmation No.: 8032

For: AN APPARATUS FOR FABRICATING A III-V NITRIDE FILM AND A  
METHOD FOR FABRICATING THE SAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 2003 under "EXPRESS MAIL" mailing label number EL 975170189 US.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

**CERTIFICATION UNDER 37 CFR §1.97(e)**

Sir:

- ☒ Each item of information contained in the Information Disclosure Statement filed herewith was *first* cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

OR

- ☐ No item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

October 27, 2003

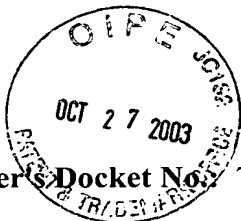
Date

*Stephen P. Burr*  
Stephen P. Burr  
Reg. No. 32,970

SPB/eav

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320



Practitioner's Docket No. 782\_181

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Tomohiko SHIBATA, Keiichiro ASAI, and Mitsuhiro TANAKA

Ser. No.: 09/928,523

Art Unit: 1765

Filed: August 13, 2001

Examiner: Matthew J. Song

Confirmation No.: 8032

For: AN APPARATUS FOR FABRICATING A III-V NITRIDE FILM AND A  
METHOD FOR FABRICATING THE SAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 2003 under "EXPRESS MAIL" mailing label number EL 975170189 US.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. Copies of each of the references listed on Form PTO-1449 are attached.

Also enclosed is a copy of a European Search Report bearing a mailing date of October 2, 2003 from a corresponding European patent application, and the U.S. PTO is directed thereto for a concise statement of possible relevance of the references cited therein.

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,



Stephen P. Burr  
Reg. No. 32,970

October 27, 2003

Date

SPB/eav

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320

Form PTO-1449  US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center; margin: 0 auto;"> <div style="text-align: center;">             CIP              OCT 27 2003              PATENT AND TRADEMARK OFFICE           </div> </div>		<i>Complete if Known</i>	
				Application Number	09/928,523		
				Filing Date	August 13, 2001		
				First Named Inventor	Tomohiko SHIBATA		
				Art Unit	1765		
				Examiner Name	Matthew J. Song		
				Confirmation No.	8032		
Sheet	1	of	1	Attorney Docket No.	782_181		

### U.S. PATENT DOCUMENTS

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date

### U.S. COPENDING APPLICATIONS

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

### FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract
	AA	0 763 610 A1	03-19-1997	EP				

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages etc.)

	AB	"Powder-Preparation Method," IBM Technical Disclosure Bulletin, IBM Corp., NY, US, Vol. 32, No. 9B, 1 February 1990, pp 355-357.
	AC	Chani V. I. et al., "Segregation and Uniformity of K <sub>3</sub> Li <sub>2</sub> (Ta,NB) <sub>3</sub> O <sub>15</sub> Fiber Crystals Grown by Micro-Pulling-Down Method," Journal of Crystal Growth, North-Holland Publishing Co., Amsterdam, NL, Vol. 194, No. 3/4, December 1998, pp 374-378.

Examiner: _____	Date Considered: _____
-----------------	------------------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.